



**Joseph Leckie  
Academy**

# **Exams Policy (Draft)**

**This policy is reviewed annually**

## **History of Document**

**Reviewed by J.Greaves: September 2020  
Review date for Document: September 2021**

Key staff involved in the exams policy

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## Rationale and Aims

At Joseph Leckie Academy, we value the importance of examinations as the key measure with which our students will carry forward with them throughout their lives as a representation of the education they have received with us at the Academy.

As an examinations centre, we are committed to ensuring that the examinations management and administration process are run effectively and efficiently. Therefore, this examinations policy aims to ensure that:

- All aspects of the Academy's examination process are documented and all relevant examination-related policies, procedures and plans are signposted
- The Academy staff and student body are well informed and supported
- All centre staff involved in the examination, results and appeals process clearly understand their roles and responsibilities
- All examinations and assessments are conducted in accordance with all JCQ and awarding board regulations, guidance and instructions
- All examination candidates understand the examination process and what is expected of them

This examinations policy is produced in conjunction with JCQ guidance, which can be found at the following link: <https://www.jcq.org.uk/exams-office/general-regulations>. This policy is our commitment to the JCQ aim that "... the integrity and security of the examination/assessment system is maintained at all times and is not brought into disrepute." [JCQ General Regulations for Approved Centres]

This document is written as an outline document, and works in conjunction with the following exams policies and procedures:

- Student examination regulations
- JCQ candidate instructions for written examinations
- JCQ candidate instructions for coursework assessments
- JCQ candidate instructions for controlled assessments
- JCQ candidate instructions for NEA assessments
- JCQ candidate instructions for onscreen tests
- JCQ guidelines for social media use in reference to examination results
- JCQ and exam board privacy notices

These documents can be found on the 'Examinations' section of the Joseph Leckie Academy website: <https://www.josephleckieacademy.co.uk/page/?title=Examinations&pid=16>

This policy will be reviewed annually with the aim of ensuring that any changes in exams procedure and expectations are met and that procedures are followed with reference to current JCQ and exam board regulations and expectations, instructions and guidance.

This policy and all subsidiary documents referred herein will be published on the Academy website under the heading 'examinations' and will be retained with the Academy Examinations Officer on the Academy site.

## JCQ Expectations and protocols

JCQ guidelines suggest that all exam centres must "conduct examinations and assessments in accordance with the General Regulations and, where relevant, the following JCQ publications:

- a) Access Arrangements and Reasonable Adjustments;

- b) Instructions for conducting coursework;
- c) Instructions for conducting examinations;
- d) Instructions for conducting non - examination assessments; and
- e) Suspected Malpractice – Policies and Procedures”<sup>1</sup>

In each case, Joseph Leckie Academy follows the JCQ guidelines and has outlined specific and tailored policies to our centre, which can all be found on our Academy website in the area titled ‘exams’, to which reference is made throughout this policy document.

Furthermore, the following procedures and processes are also covered in the aforementioned documentation, and outlined both in the exams policies section of the website and stored in the examination office at the Academy:

- Policy for Procedure for the emergency evacuation of the examination room.
- Policy for Examination contingency plan/Examinations Policy.
- Policy for Internal Complaints and Appeals Procedure.
- Access Arrangements Policy
- Policy covering the management of GCSE controlled assessments, including risk management and staff responsibilities.
- Policy covering the management of Non-Examination Assessments (NEA), including risk management and staff responsibilities.
- A Disability Policy covering the Academy’s compliance with relevant legislation, i.e. Equality Act 2010.
- A Data Protection 2018 policy that makes specific reference to examinations, data and result dissemination
- Management of poor behaviour in examinations procedures
- Policy for late and absent candidates
- Policy for word processor/computer usage in examinations
- Retention of Certificates Policy
- Policy applying to lockdown procedures during examinations
- 2020 Results and Appeals Procedure

### Purpose of the policy

The centre is committed to ensuring that the exams management and administration process is run effectively and efficiently and in compliance with the published JCQ regulations and awarding body requirements.

This exam policy will ensure that:

- all aspects of the centre’s exam process is documented, supporting the exams contingency plan, and other relevant exams-related policies, procedures and plans are signposted to
- the workforce is well informed and supported
- all centre staff involved in the exams process clearly understand their roles and responsibilities
- all exams and assessments are conducted according to JCQ and awarding body regulations, guidance and instructions, thus maintaining the integrity and security of the exam/assessment system at all times
- exam candidates understand the exams process and what is expected of them

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<sup>1</sup> JCQ General Regulations for Approved Centres, (2020), located at <https://www.jcq.org.uk/wp-content/uploads/2020/01/General-Regs-2019-2020.pdf>

This policy is reviewed annually to ensure ways of working in the centre are accurately reflected and that exams and assessments are conducted to current JCQ (and awarding body) regulations, instructions and guidance.

This policy will be communicated to all relevant centre staff.

This policy will be available on the Academy's website under the section entitled 'policies'. Exams specific policies and procedures mentioned herein will be available on the Academy's website in the section entitled 'Examinations'.

Relevant staff will be provided with a copy of the policy for their files and training through appropriate meetings will be given, where necessary.

## Roles and responsibilities overview

The head of centre is the individual who is accountable to the awarding bodies for ensuring that the centre is compliant with the published JCQ regulations and awarding body requirements in order to ensure the security and integrity of the examinations/assessments at all times.

The examinations officer is the person appointed by the head of centre to act on behalf of, and be the main point of contact for, the centre in matters relating to the general administration of awarding body examinations and assessments.

The head of centre may not appoint themselves as the examinations officer. A head of centre and an examinations officer are two distinct and separate roles.  
[GR 2]

### **Head of centre**

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - [General Regulations for Approved Centres \(GR\)](#)
  - [Instructions for Conducting Examinations \(ICE\)](#)
  - [Access Arrangements and Reasonable Adjustments \(AA\)](#)
  - [Suspected Malpractice in Examinations and Assessments \(SMEA\)](#)
  - [Instructions for conducting non-examination assessments \(NEA\)](#) (and the instructions for conducting coursework)
  - [A guide to the special consideration process \(SC\)](#)
- Ensures the centre has appropriate accommodation to support the size of the cohorts being taught including appropriate accommodation for candidates requiring access arrangements for exams and assessments
- Takes responsibility for responding to the National Centre Number Register annual update (administered on behalf of the JCQ member awarding bodies by OCR [ocr.org.uk/administration/stage-1-preparation/ncn-annual-update/](http://ocr.org.uk/administration/stage-1-preparation/ncn-annual-update/)) by the end of October each year confirming they are both aware of and adhering to the latest version of the JCQ regulations and signs and returns the head of centre's declaration which is then kept on file for inspection purposes

## **Head of centre declaration**

*The declaration is held in the policy folder situated in the Exams office.*

Appendix 1.

Note: All heads of centres will be required to confirm, on an annual basis, that they are both aware of and adhering to the latest version of these regulations. This confirmation is managed as part of the National Centre Number Register (NCNR) annual update (see section 5.3, page 14).

A head of centre cannot delegate this responsibility to a member of the senior leadership team or the examinations officer.

A signed copy of the head of centre's declaration for the academic year 2019/20 must be held on file, available for inspection, as it will be an integral part of the centre inspection. An electronic version of the head of centre's declaration, with an electronic signature, is permissible.

Note: Failure to respond to the NCNR annual update, and/or the head of centre's declaration, will result in your centre status being suspended, your centre not being able to submit examination entries and not receiving or being able to access question papers. Ultimately awarding bodies could withdraw their approval of your centre.  
[\[GR 1\]](#)

- Enables the relevant senior leader(s), the examinations officer and the SENCo to receive appropriate training and support in order to facilitate the effective delivery of examinations and assessments within the centre, and ensure compliance with the published JCQ regulations
- Appoints a SENCo who will determine appropriate arrangements for candidates with learning difficulties and disabilities
- Ensures centre staff undertake key tasks within the exams process and meet internal deadlines set by the EO
- Makes sure that a teacher who teaches the subject being examined, or a senior member of teaching staff who has had overall responsibility for the subject department and/or preparing the candidates for the examination, is not an invigilator during the timetabled written examination or on-screen test
- Ensures confidentiality and security within the examination process is compliant with and managed according to JCQ and awarding body regulations, guidance and instructions including
  - the location of the centre's secure storage facility in a secure room solely assigned to examinations for the purpose of administering secure examination materials
  - appropriate arrangements are in place to ensure that confidential materials are only delivered to authorised members of centre staff
  - access to the secure room and secure storage facility is restricted to the authorised 2-4 key holders
  - the relevant awarding body is immediately informed if the security of question papers or confidential supporting instructions is put at risk
  - that arrangements are in place to check that the correct question paper packets are opened by authorised members of centre staff

- Through taking an ethical approach and working proactively to avoid malpractice among students and staff takes all reasonable steps to prevent the occurrence of any malpractice/maladministration before, during the course of and after examinations have taken place
- Ensures irregularities are investigated and informs the awarding bodies of any cases of alleged, suspected or actual incidents of malpractice or maladministration, involving a candidate or a member of staff, are reported to the awarding body immediately
- Ensures risks to the exam process are assessed and appropriate risk management processes/contingency plans are in place (that allow the senior leadership team to act immediately in the event of an emergency or staff absence)

### **Exam contingency plan**

The policies are located in the Exams office Policy folder and on the Academy's website.

#### Appendix 2.

It is the responsibility of the head of centre to ensure that his/her centre... has in place a written examination contingency plan which covers all aspects of examination administration. This will allow members of the senior leadership team to act immediately in the event of an emergency or staff absence. The examination contingency plan must be available for inspection purposes;

(The examination contingency plan should also reinforce procedures in the event of the centre being unavailable for examinations or on results day owing to an unforeseen emergency.)

[[GR 5](#)]

- Ensures required internal appeals procedures are in place and drawn to the attention of candidates and (where relevant) their parents/carers

### **Internal appeals procedures**

The policies are located in the Exams Officer Policy folder and on the Academy's website.

#### Appendix 3.

The centre will... before submitting marks to the awarding body inform candidates of their centre assessed marks and allow a candidate to request a review of the centre's marking... have in place and be available for inspection purposes, a written internal appeals procedure relating to internal assessment decisions and to ensure that details of this procedure are communicated, made widely available and accessible to all candidates

[[GR 5.7](#)]

...have available for inspection purposes and draw to the attention of candidates and their parents/carers, a written internal appeals procedure to manage disputes when a candidate disagrees with a centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal...

[[GR 5.13](#)]

- Ensures the centre's disability policy demonstrating the centre's compliance with relevant legislation is in place and details the processes followed in respect of identifying the need for, requesting and implementing access arrangements

## **Disability policy**

The policies are located in the Exams Officer Policy folder and on the Academy's website.

Appendix 4.

The General Regulations cover... obligations arising from current data protection, equality and freedom of information legislation. However, the general regulations are not intended to be relied upon to ensure compliance with the legislation (Section 6)... A centre will have confirmed its readiness to adhere to these regulations when first approved as a centre (see Section 3, page 4)...

[[GR 1.2](#)]

The head of centre/senior leadership team will...recognise its duties towards disabled candidates as defined under the terms of the Equality Act 2010†. This must include a duty to explore and provide access to suitable courses, submit applications for reasonable adjustments and make reasonable adjustments to the service the centre provides to disabled candidates; †or any legislation in a relevant jurisdiction other than England and Wales which has an equivalent purpose and effect... The centre must comply with the obligation to identify the need for, request and implement access arrangements...

[[GR 5.4](#)]

- Ensures a complaints and appeals procedure covering general complaints regarding the centre's delivery or administration of a qualification is in place and drawn to the attention of candidates and their parents/carers

## **Complaints and appeals procedure**

The policies are located in the Exams Officer Policy folder and on the Academy's website.

BCS: If centre is unable to resolve an appeal, the Learner can submit an appeal directly to BCS, this must be done within 20 days from the date of the assessment.

- Standard appeal fee £10 +vat
- Escalated appeal fee £100 + vat
- Independent review within 15 working days of BCS decision fee £100 + vat

BCS will not start the investigation into the appeal until payment has been made. A full refund will be made if the appeal is upheld. A refund will not be given in the event of an appeal due to illness during the examination. A decision will be rec'd within 20 days.

Appendix 5.

The centre will... draw to the attention of candidates and their parents/carers their written complaints and appeals procedure which will cover general complaints regarding the centre's delivery or administration of a qualification.

[[GR 5.8](#)]

- Ensures the centre has a child protection/safeguarding policy in place, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements

## **Child protection/safeguarding policy**

The policies are located in the Exams Officer Policy folder and on the Academy's website.

Appendix 6.

It is the responsibility of the head of centre to ensure that his/her centre... has in place a written child protection/safeguarding policy, including Disclosure and Barring Service (DBS) clearance, which satisfies current legislative requirements...

[GR 5.3]

- Ensures the centre has a data protection policy in place that complies with General Data Protection Regulation and Data Protection Act 2018 regulations

### Data protection policy

The policies are located in the Exams officer Policy folder and on the Academy's website.

The JCQ document Information for candidates – Privacy Notice is given to candidates with their exam timetables and published on the Academy's website. All administrative, teachers, external staff will receive Data Protection training.

Appendix 7.

The General Regulations cover... obligations arising from current data protection, equality and freedom of information legislation. However, the general regulations are not intended to be relied upon to ensure compliance with the legislation (Section 6)... A centre will have confirmed its readiness to adhere to these regulations when first approved as a centre (see Section 3, page 4).

[GR 1.2]

The centre will... ensure that all candidate data where required by the awarding body has been supplied to the awarding bodies within the terms of the General Data Protection Regulation, the Data Protection Act 2018 and the Freedom of Information Act 2000, and that candidates have been properly informed that this data has been transferred to the awarding bodies (see section 6, page 23, for more information)...

[GR 5.8]

### Legislation on sharing information

Under the principles of the Data Protection Act 2018 and GDPR, children and young adults can assume control over their personal information and restrict access to it from the age of 13.

This suggests that candidate consent should be sought to share results or other exams-related information with a third party.

Other legislation and guidance may need to be taken into account regarding sharing information with parents, as example information from the DfE for schools regarding parental responsibility and school reports on pupil performance:

- **Understanding and dealing with issues relating to parental responsibility:** [www.gov.uk/government/publications/dealing-with-issues-relating-to-parental-responsibility/understanding-and-dealing-with-issues-relating-to-parental-responsibility](http://www.gov.uk/government/publications/dealing-with-issues-relating-to-parental-responsibility/understanding-and-dealing-with-issues-relating-to-parental-responsibility)
- **School reports on pupil performance:** [www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers](http://www.gov.uk/guidance/school-reports-on-pupil-performance-guide-for-headteachers)
- **Publication of exam results:** Refer to ICO (Information Commissioner's Office) [Education and Families](#) information and the document [Publishing exam results](#).

- Ensures the centre has documented processes in place relating to access arrangements and reasonable adjustments.

### Access arrangements policy

The policies are located in the Exams officer Policy folder and on the Academy's website.

Appendix 8.

... The centre must comply with the obligation to identify the need for, request and implement access arrangements... The head of centre/senior leadership team will... have a written process in place to not only check the qualification(s) of their assessor(s) but that the correct procedures are followed as per Chapter 7 of the JCQ publication Access Arrangements and Reasonable Adjustments...

[GR 5.4]

- Ensures the relevant awarding bodies are informed of any **Conflict of Interest** where
  - a member of centre staff is taking a qualification at the centre which includes internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
  - a candidate is being taught and prepared for a qualification which includes internally assessed components/units by a member of centre staff with a personal connection to the candidate
- Maintains records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected by the above, and where
  - a member of exams office staff have a personal connection to a candidate being entered for exams and assessments at the centre or at another centre
  - a member of centre staff is taking a qualification at the centre which does not include internally assessed components/units (taking at the centre as a last resort where unable to find an alternative centre)
  - a member of centre staff is taking a qualification at another centre
- Ensures other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials are briefed on the requirements for maintaining the integrity and confidentiality of the exam materials

It is the responsibility of the head of centre to ensure that his/her centre... manages Conflicts of Interest by informing the awarding bodies, before the published deadline for entries, of:

- any members of centre staff who are taking qualifications at their own centre which include internally assessed components/units;
- any members of centre staff who are teaching and preparing members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) for qualifications which include internally assessed components/units;

And maintains clear records of all instances where:

- exams office staff have members of their family (which includes step-family, foster family and similar close relationships) or close friends and their immediate family (e.g. son/daughter) being entered for examinations and assessments either at the centre itself or other centres;
  - centre staff are taking qualifications at their centre which do not include internally assessed components/units;
  - centre staff are taking qualifications at other centres.

The head of centre must ensure that the records include details of the measures taken to mitigate any potential risk to the integrity of the qualifications affected. The records may be inspected by a JCQ Centre Inspector and/or awarding body staff. They might be requested in the event of concerns being reported to an awarding body. The records must be retained until the deadline for reviews of marking has passed or until any appeal, malpractice or other results enquiry has been completed, whichever is later.

Note: Heads of centre must note that entering members of centre staff for qualifications at their own centre must be as a last resort in cases where the member of centre staff is unable to find another centre. The head of centre is responsible for ensuring that proper protocols are in place to prevent the member of centre staff having access to examination materials prior to the examination and that other centre staff are briefed on maintaining the integrity and confidentiality of the examination materials. The head of centre must ensure that during the examination series the member of centre staff is treated as per any other candidate entered for that examination, does not have access to examination materials and does not receive any preferential treatment.

[[GR](#) 5.3]

- Ensures members of centre staff do **not** forward e-mails and letters from awarding body or JCQ personnel without prior consent to third parties or upload such correspondence onto social media sites and applications
- Ensures members of centre staff do **not** advise parents/candidates to contact awarding bodies/JCQ directly nor provide them with addresses/email addresses of awarding body examining/assessment or JCQ personnel

#### **Exams officer**

- Understands the contents of annually updated JCQ publications including:
  - [General Regulations for Approved Centres](#)
  - [Instructions for Conducting Examinations](#)
  - [Suspected Malpractice in Examinations and Assessments](#)
  - [Post-results services \(PRS\)](#)
- Is familiar with the contents of annually updated information from awarding bodies on administrative procedures, key tasks, key dates and deadlines
- Ensures key tasks are undertaken and key dates and deadlines met
- Recruits, trains and deploys a team of internal/external invigilators; appoints lead invigilators, as required and keeps a record of the content of training provided to invigilators for the required period
- Works with the SENCo to ensure invigilators supervising access arrangement candidates and those acting as a facilitator supporting access arrangement candidates fully understand the respective role and what is and what is not permissible in the exam room
- Supports the head of centre in ensuring that awarding bodies are informed of any Conflict of Interest declared by members of centre staff and in maintaining records that confirm the measures taken/protocols in place to mitigate any potential risk to the integrity of the qualifications affected before the published deadline for entries
- Briefs other relevant centre staff where they may be involved in the receipt and dispatch of confidential exam materials on the requirements for maintaining the integrity and confidentiality of the exam materials

### **Senior leaders (SLT)**

- Are familiar with the contents, refer to and direct relevant centre staff to annually updated JCQ publications including:
  - [General Regulations for Approved Centres](#)
  - [Instructions for Conducting Examinations](#)
  - [Access Arrangements and Reasonable Adjustments](#)
  - [Suspected Malpractice in Examinations and Assessments](#)
  - [Instructions for conducting non-examination assessments](#) (and the instructions for conducting coursework)
  - [A guide to the special consideration process](#)

### **Special educational needs co-ordinator (SENCo)**

- Understands the contents, refers to and directs relevant centre staff to annually updated JCQ publications including:
  - [Access Arrangements and Reasonable Adjustments](#)
- Leads on the access arrangements and reasonable adjustments process (referred to in this policy as 'access arrangements')
- If not the qualified access arrangements assessor, works with the person appointed, on all matters relating to assessing candidates and ensures the correct procedures are followed
- Presents when requested by a JCQ Centre Inspector, evidence of the assessor's qualification

### **Head of department (HoD)**

- Ensures teaching staff undertake key tasks, as detailed in this policy, within the exams process (exam cycle) and meet internal deadlines set by the EO and SENCo
- Ensures teaching staff keep themselves updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Ensures teaching staff attend relevant awarding body training and update events

### **Teaching staff**

- Undertake key tasks, as detailed in this policy, within the exams process and meet internal deadlines set by the EO and SENCo
- Keep updated with awarding body subject and teacher-specific information to confirm effective delivery of qualifications
- Attend relevant awarding body training and update events

### **Invigilators**

- Attend/undertake training, update, briefing and review sessions as required
- Provide information as requested on their availability to invigilate
- Sign a confidentiality and security agreement and confirm whether they have any current maladministration/malpractice sanctions applied to them

### **Reception staff**

- Support the EO in the receipt and dispatch of confidential exam materials and follow the requirements for maintaining the integrity and confidentiality of the exam materials

### **Site staff**

- Support the EO in relevant matters relating to exam rooms and resources

## **Candidates**

Where applicable in this policy, the term ‘candidates’ refers to candidates and/or their parents/carers.

## **The exam cycle**

The exams management and administration process that needs to be undertaken for each **exam series** is often referred to as the **exam cycle** and relevant tasks required within this grouped into the following stages:

- planning
- entries
- pre-exams
- exam time
- results and post-results

This policy identifies roles and responsibilities of centre staff within this cycle.

## Planning: roles and responsibilities

### Information sharing

#### **Head of centre**

- Directs relevant centre staff to annually updated JCQ publications including [GR](#), [ICE](#), [AA](#), [SMEA](#), [NEA](#) (and the instructions for conducting coursework) and [SC](#)

#### **Exams officer**

- Signposts relevant centre staff to JCQ publications and awarding body documentation relating to the exams process that have been updated
- Signposts relevant centre staff to JCQ information that should be provided to candidates
- As the centre administrator, approves relevant access rights for centre staff to access awarding body secure extranet sites

### Information gathering

#### **Exams officer**

- Undertakes an annual information gathering exercise in preparation for each new academic year to ensure data about all qualifications being delivered is up to date and correct
- Collates all information gathered into one central point of reference
- Researches awarding body guidance to identify administrative processes, key tasks, key dates and deadlines for all relevant qualifications
- Produces an annual exams plan of key tasks and key dates to ensure all external deadlines can be effectively met; informs key centre staff of internal deadlines
- Collects information on internal exams to enable preparation for and conduct of [insert the titles these internal exams are referred to in the centre]

#### **Head of department**

- Responds (or ensures teaching staff respond) to requests from the EO on information gathering
- Meets the internal deadline for the return of information
- Informs the EO of any changes to information in a timely manner minimising the risk of late or other penalty fees being incurred by an awarding body
- Notes the internal deadlines in the annual exams plan and directs teaching staff to meet these

### Access arrangements

#### **Head of centre**

- Ensures there is appropriate accommodation for candidates requiring access arrangements in the centre for all examinations and assessments
- Ensures a written process is in place to not only check the qualification(s) of the appointed assessor(s) but that the correct procedures are followed as per Chapter 7 of the JCQ publication [Access Arrangements and Reasonable Adjustments](#)
- Ensures the SENCo is fully supported in effectively implementing access arrangements and reasonable adjustments once approved

#### **SENCo**

- Assesses candidates (or works with the appropriately qualified assessor as appointed by the head of centre) to identify access arrangements requirements
- Gathers **evidence** to support the need for access arrangements for a candidate
- Liaises with teaching staff to gather evidence of **normal way of working** of an affected candidate
- Determines candidate eligibility for arrangements or adjustments that are centre-delegated
- Gathers signed **Personal data consent, Privacy Notice (AAO) and Data Protection confirmation** forms (candidate personal data consent form) from candidates where required
- Applies for **approval** through **Access arrangements online** (AAO) via the **Centre Admin Portal** (CAP), where required or through the awarding body where qualifications sit outside the scope of AAO
- Keeps a file for each candidate for JCQ inspection purposes containing all the required documentation (if any documentation is kept electronically, in the event of IT failure at the time of an inspection is able to access this documentation in an alternative format)
- Employs good practice in relation to the Equality Act 2010
- Liaises with the EO regarding exam time arrangements for access arrangement candidates
- Ensures staff appointed to facilitate access arrangements for candidates are appropriately trained and understand the rules of the particular arrangement(s) and keeps a record of the content of training provided to facilitators for the required period
- Works with the EO to ensure invigilators and those acting as a facilitator fully understand the respective role and what is and what is not permissible in the exam room
- Provides and annually reviews a centre policy on the **use of word processors** in exams and assessments

#### **Word processor policy (exams)**

The policies are located in the Exams Officer Policy folder and on the Academy's website.

Appendix 9.

A centre must have a policy on the use of word processors. A word processor cannot simply be granted to a candidate because he/she now wants to type rather than write in examinations or can work faster on a keyboard, or because he/she uses a laptop at home. The use of a word processor must reflect the candidate's normal way of working within the centre. For example, where the curriculum is delivered electronically and the centre provides word processors to all candidates.

The centre may wish to set out the particular types of candidates which it considers would benefit from the use of a word processor. For example, a candidate with...

A member of the centre's senior leadership team must produce a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations.

[AA 5.8]

- Ensures criteria for candidates granted **separate invigilation within the centre** is clear, meets JCQ regulations and best meets the needs of individual candidates and remaining candidates in main exam rooms

#### **Separate invigilation within the centre policy**

Candidates with:

- Cognitive and learning needs
- Communication and interactive needs
- Sensory and physical needs
- Social, mental and emotional needs

For example, in the case of separate invigilation, the candidate's difficulties are established within the centre (see Chapter 4, paragraph 4.1.4, page 16) and known to a Form Tutor, a Head of Year, the SENCo or a senior member of staff with pastoral responsibilities.

Separate invigilation reflects the candidate's normal way of working in internal school tests and mock examinations as a consequence of a long term medical condition or long term social, mental or emotional needs.

[AA 5.16]

A candidate may only take their examinations under separate invigilation within the centre where he/she has an established difficulty - see **section 5.16** of the JCQ publication *Access Arrangements and Reasonable Adjustments...*

[ICE 14]

#### **Senior Leaders, Head of department, Teaching staff**

- Support the SENCo in determining and implementing appropriate access arrangements
- Provide a statement for inspection purposes which details the criteria the centre uses to award and allocate word processors for examinations

#### Internal assessment and endorsements

#### **Head of centre**

- Provides fully qualified teachers to mark non-examination assessments
- Ensures an **internal appeals procedure** relating to internal assessment decisions is in place for a candidate to appeal against and request a review of the centre's marking (see Roles and responsibilities overview)
- Ensures a **non-examination assessment policy** is in place for GCE and GCSE qualifications which include components of non-examination assessment (For CCEA GCSE centres this would be a controlled assessment policy)

### **Non-examination assessment policy**

The policy is located in the Exam Officer policy folder and on Academy's website.

- covers procedures for planning and managing non-examination assessments;
- defines staff roles and responsibilities with respect to non-examination assessments;
- manages risks associated with non-examination assessments.

#### Appendix 10.

The centre will... have in place and be available for inspection purposes, a written policy with regard to the management of GCE and GCSE non-examination assessments; (For CCEA GCSE centres this would be a written controlled assessments policy.)

[[GR 5.7](#)]

The JCQ requires each centre to have a non-examination assessment policy in place:

- to cover procedures for planning and managing non-examination assessments;
- to define staff roles and responsibilities with respect to non-examination assessments;
- to manage risks associated with non-examination assessments.

A JCQ Centre Inspector will ask the examinations officer to confirm that such a policy is in place. The guidance provided in this document will help the head of centre to ensure that the centre's policy is fit for purpose. The policy will need to cover all types of non-examination assessment.

Additionally, each centre must have available for inspection an internal appeals procedure relating to internal assessment decisions.

[[NEA 1](#)]

- Ensures any irregularities relating to the production of work by candidates are investigated and dealt with internally if discovered prior to a candidate signing the authentication statement (where required) or reported to the awarding body if a candidate has signed the authentication statement

### **Senior leaders**

- Ensure teaching staff have the necessary and appropriate knowledge, understanding, skills, and training to set tasks, conduct task taking, and to assess, mark and authenticate candidates' work (including where relevant, private candidates)
- Ensure appropriate internal moderation, standardisation and verification processes are in place

### **Head of department**

- Ensures teaching staff delivering any remaining legacy GCE unitised AS and A-level qualifications (which include elements of coursework), AQA Applied General qualifications, OCR Cambridge Nationals, Entry Level Certificate or Project qualifications follow JCQ [Instructions for conducting coursework](#) and the specification provided by the awarding body
- Ensures teaching staff delivering GCE & GCSE specifications (which include components of non-examination assessment) follow JCQ [Instructions for conducting non-examination assessments](#) and the specification provided by the awarding body
- For other qualifications, ensures teaching staff follow appropriate instructions issued by the awarding body
- Ensures teaching staff inform candidates of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

### **Teaching staff**

- Ensure appropriate instructions for conducting internal assessment are followed
- Ensure candidates are aware of JCQ and awarding body information for candidates on producing work that is internally assessed (coursework, non-examination assessments, social media) prior to assessments taking place
- Ensure candidates are informed of their centre assessed marks as a candidate may request a review of the centre's marking before marks are submitted to the awarding body

### **Exams officer**

- Identifies relevant key dates and administrative processes that need to be followed in relation to internal assessment
- Signposts teaching staff to relevant JCQ *information for candidates* documents that are annually updated

### Invigilation

#### **Head of centre**

- Ensures relevant support is provided to the EO in recruiting, training and deploying a team of invigilators
- Ensures, if contracting supply staff to act as invigilators that such persons are competent and fully trained, understanding what is and what is not permissible (and not taking on its own an assurance from a recruitment agency, that this is the case)
- Determines if additional invigilators will be deployed in timed Art exams in addition to the subject teacher to ensure the supervision of candidates is maintained at all times

#### **Exams officer**

- Recruits additional invigilators where required to effectively cover all exam periods/series' throughout the academic year
- Collects information on new recruits to identify if they have invigilated previously and if any current maladministration/malpractice sanctions are applied to them
- Provides training for new invigilators on the instructions for conducting exams and an annual update ~~event~~ for the existing invigilation team so that they are aware of any changes in a new academic year before they are allocated to invigilate an exam
- Ensures invigilators supervising access arrangement candidates understand their role (and the role of a facilitator who may be supporting a candidate) and the rules and regulations of the access arrangement(s)

- Ensures invigilators are briefed on the access arrangement candidates in their exam room (and that these candidates are identified on the seating plan) and confirms invigilators understand what is and what is not permissible
- Collects evaluation of training to inform future events

## Entries: roles and responsibilities

### Estimated entries

#### **Exams officer**

- Requests estimated or early entry information, where this may be required by awarding bodies, from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met
- **Estimated entries collection and submission procedure:**
  1. Email is sent to HOD requesting entry codes and estimated entries for each qualification.
  2. EO to submit estimated entries to awarding bodies: AQA, OCR, Edexcel via online submission by allocated deadline dates.
- Makes candidates aware of the JCQ Information for candidates – Privacy Notice at the start of a vocational qualification or when entries are being processed for a general qualification

#### **Head of department**

- Provides entry information requested by the EO to the internal deadline
- Informs the EO immediately of any subsequent changes to entry information

### Final entries

#### **Exams officer**

- Requests final entry information from HoDs in a timely manner to ensure awarding body external deadlines for submission can be met
- Informs HoDs of subsequent deadlines for making changes to final entry information without charge
- Confirms with HoDs final entry information that has been submitted to awarding bodies
- Ensures as far as possible that entry processes minimise the risk of entries or registrations being missed reducing the potential for late or other penalty fees being charged by awarding bodies.
- **Final entries collection and submission procedure:**
  1. EO requests candidates details and qualification codes. These are entered onto examination SIMS. Mark sheets are generated and sent to HOD to check and sign off or highlight any amendments, additions or deletions.
  2. Entries are submitted by A2C to the awarding bodies: AQA, OCR, Edexcel, WJEC
  3. Entries to NCFE and RSL are submitted separately via their website secure link

#### **Head of department**

- Provides information requested by the EO to the internal deadline
- Informs the EO immediately, or at the very least prior to the deadlines, of any subsequent changes to final entry information, which includes
  - changes to candidate personal details
  - amendments to existing entries

- withdrawals of existing entries
- Checks final entry submission information provided by the EO and confirms information is correct

### **Entry fees**

- EO prints off exam cost fees from SIMS examination for all entry fees (including late, amendment or re-sit fees)
- Finance will receive the invoices and liaise with the EO to confirm entry and fee.
- Any late entry fees are discussed with Jane Smith/ HOD

### **Late entries**

#### **Exams officer**

- Has clear entry procedures in place to minimise the risk of late entries
- Charges any late or other penalty fees to departmental budgets

#### **Head of department**

- Minimises the risk of late entries by
  - following procedures identified by the EO in relation to making final entries on time
  - meeting internal deadlines identified by the EO for making final entries

### **Re-sit entries**

Resit candidates will be discussed with HOD, Jane Smith and fees discussed before entry is made.

### **Private candidates / External Students**

- Private Candidates / External students will pay the resit fee before the entry deadline.
- If the candidate has to submit previous coursework, EO and candidate will liaise with tutor.
- Exam timetables will be posted to candidates.
- Results can be collected on allocated results day or emailed/posted with candidate's authorisation.
- The Exams Officer will liaise with external students and subject staff if required
- The Exam officer will liaise with subject staff/SENCo for any access arrangements identified. Evidence is requested by the centre before access arrangements are put in place.

### **Candidate statements of entry**

#### **Exams officer**

- Provides candidates with statements of entry for checking

#### **Teaching staff**

- Ensure candidates check statements of entry and return any relevant confirmation required to the EO

#### **Candidates**

- Confirm entry information is correct or notify the EO of any discrepancies

## Pre-exams: roles and responsibilities

### Access arrangements

#### **SENCo**

- Ensures appropriate arrangements, adjustments and adaptations are in place to facilitate access to exams/assessments for candidates where they are disabled within the meaning of the Equality Act (unless a temporary emergency arrangement is required at the time of an exam)
- Ensures a candidate is involved in any decisions about arrangements, adjustments and /or adaptations that may be put in place for him/her
- Ensures exam information (JCQ information for candidates information, individual exam timetable etc.) is adapted where this may be required for a disabled candidate to access it
- Allocates appropriately trained centre staff to facilitate access arrangements for candidates in exams and assessments (ensuring that the facilitator appointed meets JCQ requirements and fully understands the rule of the particular access arrangement)
- Where relevant, ensures the necessary and appropriate steps are undertaken to gather an appropriate picture of need and demonstrate normal way of working for a private candidate (including distance learners and home educated candidates) and that the candidate is assessed by the centre's appointed assessor

### Briefing candidates

#### **Exams officer**

- Issues individual exam timetable information to candidates and informs candidates of any contingency day awarding bodies may identify in the event of national or local disruption to exams
- Prior to exams issues relevant JCQ information for candidates documents
- Where relevant, issues relevant awarding body information to candidates
- Issues centre exam information to candidates including information on:
  - exam timetable clashes
  - arriving late for an exam
  - absence or illness during exams
  - what equipment is/is not provided by the centre
  - food and drink in exam rooms
  - wrist watches in exam rooms
  - when and how results will be issued and the staff that will be available
  - the post-results services and how the centre deals with requests from candidates
  - when and how certificates will be issued

### **Access to scripts, reviews of results and appeals procedures**

The policy is located in the Exam Officer policy folder and on Academy's website.

- The HOD, Jane Smith (SLT) will look at boundary guides and students who are 1 or 2 marks away from the next grade will be given the opportunity for a remark. The candidate will be made aware that marks can increase as well as decrease and sign a consent form. If a student requests a remark and their mark is 3 or more away from the next grade, they may be asked to fund the remark fee.

- The student or teacher may request a copy of a script - candidate consent must be sought before request submitted to the awarding body.
- EO will submit request by awarding body deadlines.
- The candidate will receive their outcome via email / post with their consent or in person via the exam office.

**Appendix 11.**

The centre will... have in place written procedures for how it will deal with candidates' requests for access to scripts, clerical re-checks, reviews of marking, reviews of moderation and appeals to the awarding bodies. Details of these procedures must be made widely available and accessible to all candidates. Candidates must be made aware of the arrangements for post-results services before they sit any examinations and the accessibility of senior members of centre staff immediately after the publication of results...

[[GR 5.13](#)]

The centre will... treat all candidates equally, including private candidates, throughout the examination process. This would also extend to post-results services and appeals

[[GR 5.6](#)]

Senior members of centre staff must be accessible to candidates immediately after the publication of results so that results may be discussed and decisions made on the submission of enquiries. Candidates must be informed of the periods during which centre staff will be available so that they may plan accordingly.

[[PRS 4.1](#)]

### Dispatch of exam scripts

#### **Exams officer**

- Identifies and confirms arrangements for the dispatch of candidate exam scripts with the DfE (STA) 'yellow label service' or the awarding body where qualifications sit outside the scope of the service

### Estimated grades

#### **Head of department**

- Ensures teaching staff provide estimated grade information to the EO by the internal deadline (where this still may be required by the awarding body)

#### **Exams officer**

- Submits estimated grade information to awarding bodies to meet the external deadline (where this may still be required by the awarding body)
- Keeps a record to track what has been sent

### Internal assessment and endorsements

#### **Head of centre**

- Ensures procedures are in place for candidates to appeal internal assessment decisions and make requests for reviews of marking

**SENCo**

- Liaises with teaching staff to implement appropriate access arrangements for candidates undertaking internal assessments and practical endorsements

**Teaching staff**

- Support the SENCo in implementing appropriate access arrangements for candidates undertaking internal assessments and practical endorsements
- Assess and authenticate candidates' work
- Assess endorsed components
- Ensure candidates are informed of centre assessed marks prior to marks being submitted to awarding bodies

**Head of department**

- Ensures teaching staff assess and authenticate candidates' work to the awarding body requirements
- Ensures teaching staff assess endorsed components according to awarding body requirements
- Ensures teaching staff provide marks for internally assessed components and grades for endorsements of qualifications to the EO to the internal deadline
- Ensures teaching staff provide required samples of work for moderation and sample recordings for monitoring to the EO to the internal deadline

**Exams officer**

- Submits marks, endorsement grades and samples to awarding bodies/moderators/monitors to meet the external deadline
- Keeps a record to track what has been sent
- Logs moderated samples returned to the centre
- Ensures teaching staff are aware of the requirements in terms of retention and subsequent disposal of candidates' work

**Candidates**

- Authenticate their work as required by the awarding body

**Invigilation****Exams officer**

- Provides an annually reviewed/updated invigilator handbook to invigilators, trains new invigilators on appointment and updates experienced invigilators annually
- Deploys invigilators effectively to exam rooms throughout an exam series (including the provision of a roving invigilator where a candidate and invigilator [acting as a practical assistant, reader or scribe] are accommodated on a 1:1 basis to enter the room at regular intervals in order to observe the conducting of the exam, ensuring all relevant rules are being adhered to and supporting the practical assistant/reader and/or scribe in maintaining the integrity of the exam)
- Allocates invigilators to exam rooms (or where supervising candidates due to a timetable clash) according to the required ratios

- Lliaises with the SENCo regarding the facilitation and invigilation of access arrangement candidates

#### **SENCo**

- Lliaises with the EO regarding facilitation and invigilation of access arrangement candidates

#### **Invigilators**

- Provide information as requested on their availability to invigilate throughout an exam series

#### JCQ Centre Inspections

##### **Exams officer or Senior leader**

- Will accompany the Inspector throughout a visit

##### **SENCo or relevant Senior leader (in the absence of the SENCo)**

- Will meet with the inspector when requested to provide documentary evidence regarding access arrangement candidates and address any questions the inspector may raise
- Ensures that information is readily available for inspection at the venue where the candidate is taking the exam(s)

#### Seating and identifying candidates in exam rooms

##### **Exams officer**

- Ensures a procedure is in place to verify candidate identity including private candidates

##### **Verifying candidate identity procedure**

The policy is located in the Exam Officer policy folder and on Academy's website.

- Invigilators / HOD/ SLT will establish the identity of all candidates sitting examinations. There will be photo identification on desks in exam venue.
- Joseph Leckie Academy will accept past students as external students. They are required to bring in ID e.g. passport or photographic driving licence and will be escorted to and from the exam venue.
- Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate will be approached by a member of staff of the same gender and taken to a private room where they will be politely asked to remove the religious clothing for identification purposes. Centres will inform candidates in advance of this procedure and well before their first examination.

##### Appendix 12.

Once identification has been established, the candidate can replace, for example, their veil and proceed as normal to sit the examination.”

[ICE 16]

The centre will... verify the identity of all students that they enter for examinations or assessments. The centre must be satisfied that all candidate identities have been checked, whether as part of the initial registration process, or in the case of private candidates through a verification process which involves photo-ID

[GR 5.6]

The centre will... have in place written procedures to verify the identity of all candidates at the time of the examination or assessment...

[GR 5.9]

Invigilators must establish the identity of all candidates sitting examinations.

A private/external candidate or a transferred candidate who is not known to the school or college must show photographic documentary evidence to prove that he/she is the same person who entered/registered for the examination/assessment, e.g. passport or photographic driving licence.

Where it is impossible to identify a candidate due to the wearing of religious clothing, such as a veil, the candidate should be approached by a member of staff of the same gender and taken to a private room where they should be politely asked to remove the religious clothing for identification purposes. Centres must inform candidates in advance of this procedure and well before their first examination.

Once identification has been established, the candidate should replace, for example, their veil and proceed as normal to sit the examination.

Invigilators must be informed of those candidates with access arrangements. Invigilators must be made aware of the particular access arrangement(s) awarded.

[ICE 16]

- Ensures invigilators are aware of the procedure
- Provides seating plans for exam rooms according to JCQ and awarding body requirements (and ensures candidates with access arrangements are identified on the seating plan)

### **Invigilators**

- Follow the procedure for verifying candidate identity provided by the EO
- Seat candidates in exam rooms as instructed by the EO/on the seating plan

### Security of exam materials

### **Exams officer**

- Confirms appropriate arrangements are in place to ensure that confidential materials are only delivered to those authorised by the head of centre.
- Has a process in place to demonstrate the receipt, secure movement and secure storage of confidential exam materials within the centre
- Ensures a log is kept at the initial point of delivery recording confidential materials received and signed for by authorised staff within the centre and that appropriate arrangements are in place for confidential materials to be immediately transferred to the secure storage facility until they can be removed from the dispatch packaging and checked in the secure room before being returned to the secure storage facility in timetable order
- Ensures the secure storage facility contains only current and live confidential material
- Ensures that examination stationery, e.g. answer booklets and formula booklets are stored in the secure room (attempting to store this material in the secure storage facility, when sufficient space allows)

### **Reception staff**

- Follow the process to log confidential materials delivered to/received by the centre to the point materials are issued to authorised staff for transferal to the secure storage facility

### **Teaching staff**

- Adhere to the process to record the secure movement of confidential materials taken from or returned to secure storage throughout the time the material is confidential

### Timetabling and rooming

#### **Exams officer**

- Produces a master centre exam timetable for each exam series
- Identifies and resolves candidate exam timetable clashes according to the regulations (only applying overnight supervision arrangements as a last resort, once all other options have been exhausted and according to the centre's policy)

#### **Overnight supervision arrangements policy**

The policy is located in the Exam Officer policy folder and on Academy's website.

Overnight supervision arrangements should only be applied as a last resort and once all other options have been exhausted...

...candidates may, at the centre's discretion, be allowed to take an examination the following morning, including Saturdays (see paragraph 8.5, page 14). Candidates are not allowed to take examinations on an earlier day than that scheduled on the timetable...

The overnight supervision arrangements **must** ensure that the candidate **does not** have advance warning of the content of the examination deferred until the following morning. This means the candidate **must not** meet or communicate with anyone who may have knowledge of the content. This includes any form of electronic communication/storage device, e.g. telephone (both landline and mobile), e-mail, Internet and social media. It also extends to television and radio, which could report key details of the day's examinations.

[ICE 8]

#### **SENCo**

- Liaises with the EO regarding rooming of access arrangement candidates
- Liaises with other relevant centre staff to ensure appropriate arrangements, adjustments and adaptations are in place to facilitate access for disabled candidates to exams

#### **Site staff**

- Liaise with the EO to ensure exam rooms are set up according to JCQ and awarding body requirements

### Alternative site arrangements

#### **Exams officer**

- Ensures question papers will only be taken to an alternative site where the published criteria for an alternative site arrangement has been met
- Will inform the JCQ Centre Inspection Service to timescale by submitting a JCQ *Alternative Site arrangement* notification through CAP (or through the awarding body where a qualification may sit outside the scope of CAP) of any alternative sites that will be used to conduct timetabled examination components of the qualifications listed in the JCQ regulations

### Centre consortium arrangements

#### **Exams officer**

- Processes applications for *Centre Consortium arrangements* through CAP to the awarding body deadline (or through the awarding body where a qualification may sit outside the scope of CAP)

#### **Head of department**

- Informs the EO of any joint teaching arrangements in place and where the centre is acting as the consortium co-ordinator

### Transferred candidate arrangements

#### **Exams officer**

- Liaises with the host or entering centre, as required
- Processes requests for *Transferred Candidate arrangements* through CAP to the awarding body deadline (or through the awarding body where a qualification may sit outside the scope of CAP)
- Where relevant (for an internal candidate) informs the candidate of the arrangements that have been made for their transferred candidate arrangements

### Internal exams

#### **Exams officer**

- Prepares for the conduct of internal exams under external conditions
- Provides a centre exam timetable of subjects and rooms
- Provides seating plans for exam rooms
- Requests internal exam papers from teaching staff
- Arranges invigilation

#### **SENCo**

- Liaises with teaching staff to make appropriate arrangements for access arrangement candidates

#### **Teaching staff**

- Provide exam papers and materials to the EO
- Support the SENCo in making appropriate arrangements for access arrangement candidates

## Exam time: roles and responsibilities

### Access arrangements

#### **Exams officer**

- Provides cover sheets for access arrangement candidates' scripts where required for particular arrangements
- Has a process in place to deal with emergency access arrangements as they arise at the time of exams
  - applies for approval through AAO where required or through the awarding body where qualifications sit outside the scope of AAO

### Candidate absence

#### **Candidate absence policy**

1. A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination. **This is entirely at the discretion of the centre.**
2. A candidate who arrives after the start of the examination should be allowed the full time for the examination, depending on the centre's organisational arrangements and provided that adequate supervision arrangements are in place.

#### Appendix 13

- EO / Invigilator/ SLT will inform the attendance team of the absence. The attendance team will chase up the students, ascertain if they are in school and will send message to tutor to send student to exam venue or ring home to ascertain their whereabouts, they will collect the student if they are at home and escort them to the exam venue.
- The HOD will be informed of the absence and discuss absence with the student. If student continues to miss their exams, they may be asked to pay the fees.

#### **Invigilators**

- Are informed of the policy/process for dealing with absent candidates through training
- Ensure that confirmed absent candidates are clearly marked as such on the attendance register and seating plan

#### **Candidates**

- Are recharged relevant entry fees for unauthorised absence from exams

### Candidate behaviour

See *Irregularities* below.

### Candidate belongings

See *unauthorised materials* below.

### Candidate late arrival

#### **Exams officer**

- Ensures that candidates who arrive very late for an exam are reported to the awarding body by submitting a *report on candidate admitted very late to examination room* through CAP to timescale
- Warns candidates that their script may not be accepted by the awarding body

### **Invigilators**

- Are informed of the policy/process for dealing with late/very late arrival candidates through training
- Ensure that relevant information is recorded on the exam room incident log

### **Candidate late arrival policy**

A candidate will be considered very late if they arrive:

- more than one hour after the awarding body's published starting time for an examination which lasts one hour or more, i.e. **after 10.00am for a morning examination or after 2.30pm for an afternoon examination.**

For examinations that last less than one hour, a candidate will be considered very late if they arrive:

- after the awarding body's published finishing time for the examination.

Where a candidate arrives very late for an examination you **must**:

- send the script to the awarding body/examiner in the normal way;
- submit **Form JCQ/VLA-Report on candidate admitted very late to examination room** within seven days of the examination having taken place.

You must provide the following information:

- the reason the candidate arrived late, including any details of special arrangements made for the candidate to reach the centre;
- the actual starting and finishing times of the examination;
- the time the candidate started the examination;
- the time the candidate finished the examination.

The awarding body will be notified of very late absences within 7 days of exam date and will make a decision as to whether the paper will be marked.

Candidates who arrive late (within the first hour of start time, for an exam over one hour long), will be allowed to sit the exam, but the impact on the other candidates will be taken into consideration in terms of the arrangements to do so. The late candidate will be under supervision at all times. If the student has been located EO will ascertain if they have come in contact with any other student sitting the exam. Mobile phone will be checked if there has been any internet access to other students.

The student is supervised and taken to the exam venue, they will be allowed the full allocated time but made aware that the awarding body will make a decision as to whether the paper will be marked.

A candidate who arrives after the start of the examination may be allowed to enter the examination room and sit the examination. This is entirely at the discretion of the centre. A candidate who arrives late, and is permitted by the centre to sit the examination, must be allowed the full time for the examination.

## Conducting exams

### **Head of centre**

- Ensures venues used for conducting exams meet the requirements of JCQ and awarding bodies

### **Exams officer**

- Ensures exams are conducted according to JCQ and awarding body instructions
- Uses an *exam day checklist* to ensure each exam session is fully prepared for, unplanned events can be dealt with and associated follow-up is completed

## Dispatch of exam scripts

- **Exams officer**
- Dispatches scripts as instructed by JCQ and awarding bodies
- Keeps appropriate records to track dispatch

## Exam papers and materials

### **Exams officer**

- Organises exam question papers and associated confidential resources in date order in the secure storage facility
- Attaches erratum notices received to relevant exam question paper packets
- Collates attendance registers and examiner details in date order
- Regularly checks mail or email inbox for updates from awarding bodies
- In order to avoid potential breaches of security, ensures prior to question paper packets being opened that another member of staff or an invigilator checks the day, date, time, subject, unit/component and tier of entry if appropriate, immediately before a question paper packet is opened
- Ensures this additional/second check (which takes place in the secure room if a question paper packet has to be split or in the designated exam room if not) is recorded
- Where allowed by the awarding body, only releases exam papers and materials to teaching departments for teaching and learning purposes after the published finishing time of the exam, or until any timetable clash candidates have completed the exam

## Exam rooms

### **Head of centre**

- Ensures that internal tests, mock exams, revision or coaching sessions are not conducted in a room ‘designated’ as an exam room
- Ensures that when a room is ‘designated’ as an exam room it is not used for any purpose other than conducting external exams
- Ensures only authorised centre staff are present in exam rooms
- Ensures the centre’s policy relating to food and drink that may be allowed in exam rooms is clearly communicated to candidates

- Ensures the centre's policy on candidates leaving the exam room temporarily is clearly communicated to candidates

### **Food and drink in exam rooms policy**

Food and drink may be allowed in the examination room at the discretion of the head of centre. However, this is on the condition that any food or drink brought into the examination room whether by the candidate or the centre is free from packaging and all labels are removed from drink containers.

There is an exception for diabetic candidates, there will be a diabetic supply box in exam venue.

Food and drink may be allowed in the examination room at the discretion of the head of centre. However, this is on the condition that any food or drink brought into the examination room whether by the candidate or the centre is free from packaging and all labels are removed from drink containers

[ICE 18]

### **Policy on candidates leaving the exam room temporarily**

Candidates who are allowed to leave the examination room temporarily **must** be accompanied by a member of centre staff. This **must not** be the candidate's subject teacher or a subject expert for the examination in question. Those candidates may be allowed extra time at the discretion of the centre to compensate for their temporary absence.

[ICE 23]

### **Exams officer**

- Ensures exam rooms are set up and conducted as required in the regulations
- Provides invigilators with appropriate resources to effectively conduct exams
- Briefs invigilators on exams to be conducted on a session by session basis (including the arrangements in place for any transferred candidates and access arrangement candidates)
- Ensures sole invigilators have an appropriate means of summoning assistance (if this is a mobile phone, instructs the invigilator that this must be on silent mode)
- Ensures invigilators understand they must be vigilant and remain aware of incidents or emerging situations, looking out for malpractice or candidates who may be in distress, recording any incidents or issues on the exam room incident log
- Ensures invigilators understand how to deal with candidates who may need to leave the exam room temporarily and how this should be recorded on the exam room incident log
- Provides authorised exam materials which candidates are not expected to provide themselves
- Ensures invigilators and candidates are aware of the emergency evacuation procedure
- Ensures invigilators are aware of arrangements in place for a candidate with a disability who may need assistance if an exam room is evacuated

### **Senior leaders**

- Ensure a documented emergency evacuation procedure for exam rooms is in place
- Ensure arrangements are in place for a candidate with a disability who may need assistance if an exam room is evacuated

## **Emergency evacuation policy**

The policy is located in the exam office and on Academy's website.

### Appendix 14.

When dealing with emergencies you must be aware of your centre's policy and, where appropriate, any instructions from relevant local or national agencies.

Reference should also be made to the following document -

<https://www.gov.uk/government/publications/bomb-threats-guidance/procedures-for-handling-bomb-threats>

You must have a written centre policy for dealing with an emergency evacuation of the examination room, which will be subject to inspection by the JCQ Centre Inspection Service.

[ICE 25]

## **Site staff**

- Ensure exam rooms are available and set up as requested by the EO
- Ensure grounds or centre maintenance work does not disturb exam candidates in exam rooms
- Ensure fire alarm testing does not take place during exam sessions

## **Invigilators**

- Conduct exams in every exam room according to JCQ *Instructions for conducting examinations* and/or awarding body requirements and as instructed by the centre in training/update and briefing sessions

## **Candidates**

- Are required to follow the instructions given to them in exam rooms by authorised centre staff and invigilators
- Are required to remain in the exam room for the full duration of the exam

## **Irregularities**

## **Head of centre**

- Ensures any cases of alleged, suspected or actual incidents of malpractice or maladministration before, during or after examinations/assessments (by centre staff, candidates, invigilators) are investigated and reported to the awarding body **immediately**, by completing the appropriate documentation

## **Managing behaviour in exam rooms procedure**

### Appendix 15.

Where a candidate is being disruptive, the invigilator must warn the candidate that he/she may be removed from the examination room.

The candidate must also be warned that the awarding body will be informed and may decide to penalise them, which could include disqualification.

The invigilator must record what has happened... The head of centre has the authority to remove a candidate from the examination room, but should only do so if the candidate would disrupt others by remaining in the room.

[ICE 24]

### **Senior leaders**

- Ensure support is provided for the EO and invigilators when dealing with disruptive candidates in exam rooms
- Ensure that internal disciplinary procedures relating to candidate behaviour are instigated, when appropriate

### **Exams officer**

- Provides an exam room incident log in all exam rooms for recording any incidents or irregularities
- Actions any required follow-up and reports to awarding bodies as soon as practically possible after the exam has taken place

### **Invigilators**

- Record any incidents or irregularities on the exam room incident log (for example, late/very late arrival, candidate or centre staff suspected malpractice, candidate illness or needing to leave the exam room temporarily, disruption or disturbance in the exam room, emergency evacuation)

### **Malpractice**

See *Irregularities* above.

### **Special consideration**

### **Exams officer**

- Processes appropriate requests for special consideration to awarding bodies
- Gathers evidence which may need to be provided by other staff in centre or candidates
- Submits requests to awarding bodies to the external deadline

### **Special consideration policy**

Appendix 16.

### **Candidates**

- Provide appropriate evidence to support special consideration requests, where required

### **Unauthorised materials**

Candidates are reminded at the start of the exam, that JCQ unauthorised items are not to be brought into the examination room and a final opportunity to hand them in is given.

Not permitted: iPods, Mobile phones, MP3/4 Players, Smart watches, No potential technological/web enabled sources of information

In the examination room candidates must not have access to items other than those stated in the instructions on the question paper, the stationery list or the specification for that subject.

Potential technological/web enabled sources of information such as... are not permitted... ideally, all unauthorised items are left outside of the examination room... any pencil cases taken into the examination room must be see-through... any unauthorised items that have

been taken into the examination room must be placed out of reach of the candidates (and not under their desks) before the examination starts. This would normally be at the front of the examination room or a similar arrangement that enables the invigilator to control access to the items... If candidates have access to unauthorised items in the examination room this may be considered as malpractice. They could be subject to penalties in accordance with the JCQ publication *Suspected Malpractice in Examinations and Assessments: Policies and Procedures* - <http://www.jcq.org.uk/exams-office/malpractice>

The invigilator, prior to the examination starting, must ensure that candidates have removed their wrist watches, placing them on their desks.

A head of centre may, if he/she so wishes, prohibit candidates bringing a wrist watch into the examination room. Candidates would be required to leave their watches outside of the examination room.

[ICE 18]

Arrangements have been made for the safe storage of candidates possessions. For exams in the **Sports Hall**: Candidate's coats/bags/unauthorised materials will be stored in an outside in lock up container

**Gym**: Candidate's coats/bags/unauthorised materials will be stored either in the outdoor lock up container or in a second room beside the main gym area.

**Classroom venues**: Candidate's coats/bags will be stored in allocated area, unauthorised materials will be placed in boxes outside the exam venue.

### **Invigilators**

- Are informed of the arrangements through training

### Internal exams

#### **Exams officer**

- Briefs invigilators on conducting internal exams
- Returns candidate scripts to teaching staff for marking

#### **Invigilators**

- Conduct internal exams as briefed by the EO

### **Results and post-results: roles and responsibilities**

### Internal assessment

#### **Head of department**

- Ensures teaching staff keep candidates' work, whether part of the moderation sample or not, secure and for the required period stated by JCQ and awarding bodies
- Ensures work is returned to candidates or disposed of according to the requirements

### Managing results day(s)

The guidelines outlined below serve for a ‘typical’ Examination results day. However, in view of the unprecedented nature of the 2020 summer results day due to the COVID-19 Pandemic, significant adjustments were needed. These have been outlined in a later section of this policy and were published on both the website and by letter and email to candidates and parents during the summer examinations period and in preparation for the examination results days.

### **Senior leaders**

- Identify centre staff who will be involved in the main summer results day(s) and their role
- Ensures senior members of staff are accessible to candidates after the publication of results so that results may be discussed and decisions made on the submission of any requests for post-results services and ensures candidates are informed of the periods during which centre staff will be available so that they may plan accordingly

### **Exams officer**

- Works with senior leaders to ensure procedures for managing the main summer results day(s) (a results day programme) are in place

### **Results day programme**

November and January series: results can be collected from the exam office.

Summer exams: results are collected from 6<sup>th</sup> form common room.

GCE from 8am and GCSE from 9am

- To collect in person unless Academy is in receipt of authorisation to give to another person
- Results can be emailed with written authorisation
- See data protection policy and Access to scripts, review of results and appeals procedures.

### **Site staff**

- Ensure the centre is open and accessible to centre staff and candidates, as required for the collection of results

### **Assessing results**

- Senior leaders inform candidates that results can only be collected by the person who sat the examinations. If the candidate is unable to collect their results or wishes another person to collect on their behalf, including their parents/carers, the EO must receive the candidate’s written permission prior to results day either by letter or email at [a.losinski@josephleckieacademy.co.uk](mailto:a.losinski@josephleckieacademy.co.uk)
- EO informs candidates in advance of when and how results will be released to them
- EO accesses results from awarding bodies under restricted release of results, where this is provided by the awarding body
- EO Resolves any missing or incomplete results with awarding bodies
- EO issues statements of results to candidates on issue of results date
- Data Manager provides summaries of results for relevant centre staff on issue of results date

### **Head of centre**

- Ensures results are kept entirely confidential and restricted to key members of staff until the official dates and times of release of results to candidates

### **Exams officer**

- Informs candidates in advance of when and how results will be released to them for each exam series
- Accesses results from awarding bodies under restricted release of results, where this is provided by the awarding body
- Resolves any missing or incomplete results with awarding bodies
- Issues statements of results to candidates on issue of results date
- Provides summaries of results for relevant centre staff on issue of results date

### Post-results services

#### **Head of centre**

- Ensures an **internal appeals procedure** is available where candidates disagree with any centre decision not to support a clerical re-check, a review of marking, a review of moderation or an appeal
- Understands that if the centre has concerns about one of its component/subject cohorts, then requests for reviews of marking should be submitted for all candidates believed to be affected (candidate consent is required as marks and subject grades may be lowered, confirmed or raised)

#### **Exams officer**

- Provides information to candidates (including private candidates) and staff on the services provided by awarding bodies and the fees charged (see also above *Briefing candidates and Access to scripts, enquiries about results and appeals procedures*)
- Publishes internal deadlines for requesting the services to ensure the external deadlines can be effectively met
- Provides a process to record requests for services and to collect candidate informed consent (**after** the publication of results) and fees where relevant
- Submits requests to awarding bodies to meet the external deadline for the particular service
- Tracks requests to conclusion and informs candidates and relevant centre staff of outcomes
- Updates centre results information, where applicable

#### **Teaching staff**

- Meet internal deadlines to request the services and gain relevant candidate informed consent
- Identify the budget to which fees should be charged

#### **Candidates**

- Meet internal deadlines to request the services
- Provide informed consent and fees, where relevant

#### Analysis of results

- Provides analysis of results to appropriate centre staff
- Provides results information to external organisations where required
- Undertakes the secondary school and college (key stage 4/16-18) performance tables *June and September checking exercise*

#### Certificates

Certificates are provided to centres by awarding bodies after results have been confirmed.

### **Issue of certificates procedure**

- The Academy will receive certificates approx. 3 months after the release of results. Certificates will be checked against results file to ascertain correct grades and all candidate certificates have been received.
- Candidates can collect their certificates on award evening or from the exam office. Certificates will only be given to other members of the family with written consent.
- Certificates will be stored under secure storage for a minimum of 12 months.

### **Candidates**

- May arrange for certificates to be collected on their behalf by providing the EO with written or email permission/authorisation; authorised persons must provide ID evidence on collection of certificates

### **Retention of certificates policy**

#### **Appendix 17**

- All unclaimed certificates to be under secure conditions for a minimum of 12 months from the date of issue;
- The Academy can destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed in a secure manner. Centres that do not have a means of destroying certificates confidentially may return them to the respective awarding body.
- A record of certificates that have been destroyed should be retained for four years from their date of destruction. However, **candidates should be informed that some awarding bodies do not offer a replacement certificate service**. In such circumstances the awarding body will issue a Certifying Statement of Results;

### **Exams review: roles and responsibilities**

#### **Exams officer**

- Provides SLT with an overview of the exam year, highlighting what went well and what could be developed/improved in terms of exams management and administrative processes within the stages of the exam cycle
- Collects and evaluates feedback from staff, candidates and invigilators to inform an exams review

#### **Senior leaders**

- Work with the EO to produce a plan to action any required improvements identified in the review

### **Retention of records: roles and responsibilities**

#### **Exams officer**

- Keeps records as required by JCQ and awarding bodies for the required period
- Keeps records as required by the centre's records management policy
- Provides an exams archiving policy that identifies information held, retention period and method of disposal

### **Academy Data Protection and Access to Exam Specific Data Policies**

The Academy has taken vital steps to ensure that candidate examination data is protected, as outlined in sections addressing results distribution and allocation outlined above. Additionally, we have considered the importance of candidate access to data held relating to their internally and externally assessed results.

Access by candidates to examination results and internally assessed data is retained and distributed, on candidate request in accordance with the Data Protection Act (GDPR) (2018). The exams procedure adheres to the procedure outlined in these documents, namely:

- Data Protection Policy
- Student and Parent Privacy Notice
- Disposal of Records Schedule
- Data Breach Policy

These policies and procedures can be located on the Academy Website in the section entitled 'Data Protection Act 2018' and in paper copy stored in the Examinations Office and with Data Manager.

## **Academy Examinations Policies and Procedural Documentation**

### **Access Arrangements Policy**

Access Arrangements are applied in accordance with JCQ guidelines (GA chapter 5.5) and are reviewed annually. The Academy Policy is outlined in depth in a separate 'Access Arrangements Policy' that can be located at the Academy website section on 'policies' and in paper form from the Examinations Office.

### **Disability Policy (Exams)**

Disability access arrangements are applied in accordance with JCQ guidelines and are reviewed annually. The Academy Policy and procedure are outlined in depth in two separate documents - 'Access Arrangements Policy' and 'Disability Policy (Exams)', both of which can be located on the Academy website section on 'policies' and in paper form from the Examinations Office.

### **Candidate Absence and Lateness Policy**

Candidate Absence and Lateness procedures are applied in accordance with JCQ guidelines and are reviewed annually. The Academy Policy and Procedure are outlined in depth in the document 'Policy for Late and Absent Candidates', which can be located in the Academy Website section on 'Examinations' and in paper form from the Examinations office.

### **Examination Evacuation Policy**

Emergency Evacuation procedures during examinations are applied in accordance with the JCQ guidelines and are reviewed annually. The Academy procedure is set out in a separate document entitled 'Emergency Evacuation Policy-Exams' which can be accessed on the Academy Website in the 'Examinations' section and in paper form in the Examinations Office.

### **Lockdown during Examination Policy**

Lockdown procedures during examinations are applied in accordance with the JCQ guidelines and are reviewed annually. The Academy procedure is set out in a separate document entitled 'Lockdown Policy-Exams' which can be accessed on the Academy Website in the 'Examinations' section and in paper form in the Examinations Office.

### **Non Exam Assessment (NEA) Policy**

Non Exam Assessments are undertaken in a wide range of subjects across the Academy covering both GCE and GCSE specifications. The Academy applies the latest JCQ guidelines as well as awarding body guidelines towards NEA provision and reviews this annually. The Academy has outlined the policy in a separate document entitled 'Non-Examination Assessment Policy' which can be accessed on the Academy Website in the 'Examinations' section and in paper form in the Examinations Office.

### **Special Considerations**

In addressing Special Considerations, the Academy applies procedures in accordance with JCQ guidelines, which are reviewed annually. The Academy has outlined the policy towards Special Considerations in a separate document entitled 'Special Considerations Policy' which can be accessed on the Academy Website in the 'Examinations' section and in paper form in the Examinations Office.

## **Results- Complaints and Appeals**

The Academy manages results complaints and appeals in accordance with JCQ guidelines, which are reviewed annually. The Academy has set out policies and procedures in a separate document entitled 'Complaints and Appeals Procedure- Exams'. This can be accessed on the Academy Website in the 'Examinations' section and in paper form in the Examinations Office.

## **Certificate retention and distribution**

The Process outlined can be seen in full in a separate document entitled 'Retention of Certificates Policy'. This can be accessed on the Academy website in the 'Examinations' section and in paper form in the Examinations Office.

## **Examinations Contingency Planning**

The Academy is prepared for a variety of eventualities occurring to disrupt the Examinations Process. The Academy follows the latest JCQ and Ofqual guidelines and reviews the policy annually. The Processes and Procedures for examinations contingency planning are outlined in a separate document entitled 'Exam Contingency Plan' which can be accessed on the Academy Website in the 'Examinations' section and in paper form in the Examinations Office.

## **COVID-19 adjustments and changes (2020)**

Due to the unprecedented COVID-19 Pandemic in the spring and summer terms of the 2019-20 Academic Year, cancellation of the planned June Series of examinations was cancelled nationwide. The Academy put the following procedures in place to ensure that candidates would receive grades for all examination entries:

- A thorough review of examination entries to ensure candidate eligibility for submission of Centre Assessed Grades (CAG) to exam boards
- Teacher review of Academy held data to establish CAGs
- Submission of CAGs by HOD/HOFs for review
- Review and submission to awarding bodies of CAGs by SLT/Data Manager
- Candidates and Parents/Carers informed of CAG and awarding body process by publication on website, emails and letters home
- Review of Appeals, CAG/Data Access and Resit entry process by SLT and EO
- Updating of all examinations policies and procedures to acknowledge and address 2020 exams processes
- Review of results days process to allow candidates to receive results at home by email and reduce numbers of students on site during examination results days- 13<sup>th</sup> and 20<sup>th</sup> August 2020 in order to comply with social distancing requirements and government guidelines
- Purchase of InTouch programme to allow accurate dissemination of results on results days
- Review and designation of staffing for results days
- Parents and candidates informed of results days' processes by letter, email and publication of letter and process on Academy website
- Review of examinations data processes and GDPR requirements to ensure student access to Centre Assessed Grades (CAGs) and appeals/resits process
- Email to all students on results days outlining CAG access procedure and publication of form on website for access to data held on CAGs etc.
- Email address set up for resit entries
- Meetings held with SLT/HOD/HOF for students intending to re-sit in October/November series
- Review of exams processes in view of October/November series

## **Appendices**

Appendices outline separate documents referred to in this policy. All of which are accessible in the ‘Examinations’ section and/or ‘Policies’ section of the Academy website and in paper form from the Examinations Office:

- Appendix 1 Head Declaration
- Appendix 2 Exam contingency plan
- Appendix 3 Internal Appeals procedure
- Appendix 4 Disability policy
- Appendix 5 Complaints and Appeals procedure
- Appendix 6 Child protection/Safeguarding Policy
- Appendix 7 Data protection Policy
- Appendix 8 Access arrangement policy
- Appendix 9 Word processor Policy
- Appendix 10 Non-examination assessment policy
- Appendix 11 Access to scripts, enquiries about results and appeals consent forms
- Appendix 12 Verifying candidate identity procedure
- Appendix 13 Candidate late arrival
- Appendix 14 Emergency evacuation policy
- Appendix 15 Managing behaviour
- Appendix 16 Special consideration
- Appendix 17 Retention of certification policy
- Appendix 18 Exams archiving policy